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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/995,087	11/27/2001	Paul Michael Dantzig	YOR920010320US1	9571

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Gail H. Zarick
Intellectual Property Law Dept.
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P.O. Box 218
Yorktown Heights, NY 10598

EXAMINER

NAWAZ, ASAD M

ART UNIT	PAPER NUMBER
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2155

DATE MAILED: 02/04/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/995,087

Applicant(s)

DANTZIG ET AL.

Examiner

Asad M Nawaz

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 27 November 2001.
2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-42 is/are pending in the application.
4a) Of the above claim(s) _____ is/are withdrawn from consideration.
5) ☐ Claim(s) _____ is/are allowed.
6) ☒ Claim(s) 1-42 is/are rejected.
7) ☐ Claim(s) _____ is/are objected to.
8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
10) ☒ The drawing(s) filed on 27 November 2001 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3) ☒ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date _____.
4) ☐ Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____.
5) ☐ Notice of Informal Patent Application (PTO-152)
6) ☐ Other: _____.

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DETAILED ACTION

1. Claims 1-42 are presented for examination.
2. Acknowledgment is made of the Information Disclosure Statement received on November 27, 2001.

Claim Rejections - 35 USC § 102

3. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

4. Claims 1-7, 10-17, 20-29, and 31-42 are rejected under 35 U.S.C. 102(e) as being anticipated by Swildens et al (US Patent No 6,694,358) hereinafter referred to as Swildens.

As to claim 1, Swildens teaches a method, in a network comprising a primary server and at least one offload server, for dynamic offloading of processing requests from said primary server to said at least one offload server, the method comprising the steps of:

determining a load on said primary server; (Abstract; Figs 3; Cols 1 and 2, lines 64-67 and 1-17)

if the load on said primary server is less than a first threshold, serving processing requests at said primary server; (col 3, lines 26-38; col 9, lines 1-13)

and if the load on said primary server exceeds said first threshold, then offloading at least a portion of said processing requests to said at least one offload server. (col 3, lines 26-38; col 9, lines 1-13)

Claims 11, 21, 22, 23, 32, 41, and 42 are essentially the method, program product, and system for the claim above. They further contain similar limitations as the claim above and thus are rejected under similar rationale.

As to claim 2, Swildens teaches the method of claim 1 wherein said load comprises bandwidth utilization and said first threshold is a network bandwidth utilization of said primary server. Col 4, lines 1-4; col 5, lines 1-6 and 34-40; col 8, lines 18-48)

Claims 12, 24 and 33 are essentially the method, program product, and system for the claim above. They further contain similar limitations as the claim above and thus are rejected under similar rationale.

As to claim 3, Swildens teaches the method of claim 1 wherein the said load comprises CPU utilization and said first threshold is a CPU utilization of said primary server. (col 5, lines 10-15; col 8, lines 18-48)

Claims 13, 25, and 34 are essentially the method, program product, and system for the claim above. They further contain similar limitations as the claim above and thus are rejected under similar rationale.

As to claim 4, Swildens teaches the method of claim 1 wherein serving the processing requests at said primary server includes returning a page to a user wherein all the embedded objects in the page have links to said primary server; and offloading at least a portion of the processing requests to at least one offload server includes serving a base page at said primary server in which the links for embedded objects point to said offload server. (col 3, lines 19-23 and 39-56; col 9, lines 43-64)

Claims 14, 26, and 35 are essentially the method, program product, and system for the claim above. They further contain similar limitations as the claim above and thus are rejected under similar rationale.

As to claim 5, Swildens teaches the method of claim 1 wherein offloading at least a portion of the processing requests to said at least one offload server includes routing an incoming Web request to a selected offload server. (col 3, lines 26-38; col 9, lines 1-13)

Claims 15, 27, and 36 are essentially the method, program product, and system for the claim above. They further contain similar limitations as the claim above and thus are rejected under similar rationale.

As to claim 6, Swildens teaches the method of claim 1 and further including the step of, if the processing load on said primary server exceeds a second threshold, throttling at least one processing request. (col 9, lines 25-30; col 12, lines 3-36)

Claims 16, 28, and 37 are essentially the method, program product, and system for the claim above. They further contain similar limitations as the claim above and thus are rejected under similar rationale.

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As to claim 7, Swildens teaches the method of claim 6 wherein throttling at least one processing request includes returning a page to a user indicating that a server is overloaded. (col 9, lines 25-30; col 12, lines 3-36)

Claims 17, 29, and 38 are essentially the method, program product, and system for the claim above. They further contain similar limitations as the claim above and thus are rejected under similar rationale.

As to claim 10, Swildens teaches the method of claim 1 wherein the determination of which of said at least one offload server that at least one processing request is to be offloaded to is based on one or more of a group including a client identity, a client gateway (IP) address, a price of the offload service, or a current or previous load on the at least one offload server. (col 3, lines 26-38; col 8, lines 36-48; col 9, lines 1-13; col 10, lines 59-67)

Claims 20, 31, and 40 are essentially the method, program product, and system for the claim above. They further contain similar limitations as the claim above and thus are rejected under similar rationale.

Claim Rejections - 35 USC § 103

5. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

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The text of those sections of Title 35, U.S. Code not included in this action can be found in a prior Office action.

6. Claims 8-9, 18-19, and 30 are rejected under 35 U.S.C. 103(a) as being unpatentable over Swildens further in view of Gupta et al (US Patent No 6,374,305).

As to claim 8, Swildens teaches the method of claim 6 but does not explicitly indicate dropping at least one processing request without returning any information to a user.

Gupta et al teaches requests being dropped if they reach a certain threshold without returning any additional information.(col 3, lines 9-20)

It would have been obvious to one of ordinary skill in the art at the time of the invention to incorporate the teachings of Gupta into those of Swildens to make the system more efficient. By dropping requests that exceed previously set thresholds, the system no longer wastes server/processing time or other network resources in sending a message.

As to claim 9, Swildens teaches the method of claim 6 wherein throttling at least one processing request includes returning a page to a user indicating that a server is overloaded if said load exceeds said second threshold but does not explicitly indicate dropping said at least one processing request if said load exceeds a threshold.

Gupta et al teaches requests being dropped if they reach a certain threshold without returning any additional information.(col 3, lines 9-20)

It would have been obvious to one of ordinary skill in the art at the time of the invention to incorporate the teachings of Gupta into those of Swildens to make the

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system more efficient. By dropping requests that exceed previously set thresholds, the system no longer wastes server/processing time or other network resources in sending a message.

7. Pertinent art not relied upon: .

- Sitaramann et al: US Patent No 6,442,165 discloses a load balancing technique in which each request is assigned a ticket based upon performance ratings to operable instances:
- Goldszmidt et al: US Patent No: 6,195,680 discloses detection of load imbalances and/or failures and dynamically switching to a secondary server. The server is chosen based upon numerous metrics including falling below or exceeding some threshold value.
- Peterson: US Patent No 6,788,648 discloses a method and apparatus for load balancing a distributed processing system based upon processing utilization thresholds.

Conclusion

8. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Asad M Nawaz whose telephone number is (571) 272-3988. The examiner can normally be reached on M-F 8-4:30.

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If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Hosain Alam can be reached on (571) 272-3978. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).



AMN



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SUPERVISORY PATENT EXAMINER